



COMMODITY FUTURES TRADING COMMISSION

Agency Information Collection Activities under OMB Review

AGENCY: Commodity Futures Trading Commission.

ACTION: Notice.

SUMMARY: In compliance with the Paperwork Reduction Act of 1995 (PRA), this notice announces that the Information Collection Request (ICR) abstracted below has been forwarded to the Office of Information and Regulatory Affairs (OIRA), of the Office of Management and Budget (OMB), for review and comment. The ICR describes the nature of the information collection and its expected costs and burden.

DATES: Comments must be submitted on or before **[INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]**.

ADDRESSES: Written comments and recommendations for the proposed information collection should be submitted within 30 days of this notice's publication to OIRA, at <https://www.reginfo.gov/public/do/PRAMain>. Please find this particular information collection by selecting "Currently under 30-day Review – Open for Public Comments" or by using the website's search function. Comments can be entered electronically by clicking on the "comment" button next to the information collection on the "OIRA Information Collections Under Review" page, or the "View ICR – Agency Submission" page. A copy of the supporting statement for the collection of information discussed herein may be obtained by visiting <https://www.reginfo.gov/public/do/PRAMain>.

In addition to the submission of comments to <https://Reginfo.gov> as indicated above, a copy of all comments submitted to OIRA may also be submitted to the Commodity Futures Trading Commission (the "Commission" or "CFTC") by clicking on the "Submit Comment" box next to the descriptive entry for OMB Control Number 3038-0072, at <https://comments.cftc.gov/FederalRegister/PublicInfo.aspx>.

Or by either of the following methods:

- *Mail:* Christopher Kirkpatrick, Secretary of the Commission, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.
- *Hand Delivery/Courier:* Same as Mail above.

All comments must be submitted in English, or if not, accompanied by an English translation. Comments submitted to the Commission should include only information that you wish to make available publicly. If you wish the Commission to consider information that you believe is exempt from disclosure under the Freedom of Information Act, a petition for confidential treatment of the exempt information may be submitted according to the procedures established in § 145.9 of the Commission's regulations.¹ The Commission reserves the right, but shall have no obligation, to review, pre-screen, filter, redact, refuse or remove any or all of your submission from <https://www.cftc.gov> that it may deem to be inappropriate for publication, such as obscene language. All submissions that have been redacted or removed that contain comments on the merits of the ICR will be retained in the public comment file and will be considered as required under the Administrative Procedure Act and other applicable laws, and may be accessible under the Freedom of Information Act.

FOR FURTHER INFORMATION: Christopher W. Cummings, Market Participants Division, Commodity Futures Trading Commission, (202) 418-5445 or ccummings@cftc.gov, and refer to OMB Control No. 3038-0072.

SUPPLEMENTARY INFORMATION:

Title: Registration under the Commodity Exchange Act (OMB Control No. 3038-0072). This is a request for an extension of a currently approved information collection.

¹ 17 CFR 145.9.

Abstract: The information collected under OMB Control No. 3038-0072 is gathered through the use of forms for registration of swap dealers and major swap participants. Swap dealers and major swap participants are required by section 4s(a) of the Commodity Exchange Act (“CEA”) (7 U.S.C. 6s(a)) to register with the Commission. The CFTC uses various forms for registration (and withdrawal therefrom) (the “Registration Forms”). OMB Control No. 3038-0072 applies to the Registration Forms for registration of swap dealers and major swap participants,² to the alternative method provided under Commission regulations to submission of a fingerprint card for foreign natural persons; and to the process for requesting cross-border comparability determinations for substituted compliance with requirements otherwise applicable to swap dealers and major swap participants.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.³ On April 28, 2023, the Commission published in the *Federal Register* notice of the proposed extension of this information collection and provided 60 days for public comment on the proposed extension, 88 FR 26279 (“60-Day Notice”). The Commission did not receive any comments on the 60-Day Notice.

Burden Statement: The Commission continues to estimate the burden for this collection as described below.

Respondents/Affected Entities: Users of Commission registration forms that are swap dealers and major swap participants.

Estimated number of respondents: 779.

Estimated average burden hours per respondent: 1.14 hours.

Estimated total annual burden on respondents: 888 hours.

² Forms for registration of futures commission merchants, commodity pool operators, commodity trading advisors, retail foreign exchange dealers, introducing brokers, associated persons, floor traders, and floor brokers are the subject of a separate information collection (OMB Control Number 3038-0023).

³ 44 U.S.C. 3512, 5 CFR 1320.5(b)(2)(i) and 1320.8 (b)(3)(vi).

Frequency of responses: Periodically.

There are no capital costs or operating and maintenance costs associated with this collection.

(Authority: 44 U.S.C. 3501 *et seq.*)

Dated: June 30, 2023.

Robert Sidman,

Deputy Secretary of the Commission.

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